

Substitute for Form PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 033388-590 U.S. APPLICATION NO. (if known) (see 37 C.F.R. 1.5) 107500933
INTERNATIONAL APPLICATION NO. PCT/US03/00380	INTERNATIONAL FILING DATE 8 January 2003 (08.01.2003)	PRIORITY DATE CLAIMED 9 January 2002 (09.01.2002)
TITLE OF INVENTION EFFICIENT NUCLEIC ACID ENCAPSULATION INTO MEDIUM SIZED LIPOSOMES		
APPLICANT(S) FOR DO/EO/US Shangguan TONG; Xingong LI; Paul R. MEERS; Walter R. PERKINS; Alla POLOZOVA		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: 1. <input checked="" type="checkbox"/> This is a FIRST submission to items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 21 below concern document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A FIRST preliminary amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: <u>General Authorization for Petitions for Extensions of Time and Payment of Fees; Application Data Sheet; Nine (9) sheets of drawings; PCT Forms ISA/220, IPEA/408 and IPEA/416.</u> 21. <input checked="" type="checkbox"/> Applicant(s) requests that the published application include the following assignment information: <u>Elan Pharmaceuticals, Inc., South San Francisco, California</u>		

U.S. APPLICATION NO. (If known, see 37 CFR 1.53) 10/500939	INTERNATIONAL APPLICATION NO. PCT/US03/00380	ATTORNEY'S DOCKET NUMBER 033388-590
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22. ☐ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1,080.00 (1611)

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$920.00 (1613)

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but International search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 (1610)

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00 (1609)

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 (1612)

CALCULATIONS PTO USE ONLY

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 730.00

Surcharge of **\$130.00 (1617)** for furnishing the oath or declaration later than
months from the earliest claimed priority date (37 CFR 1.492(e)). ☐ 20 ☐ 30

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total Claims	168	-20 = 148	X \$18.00 (1615)	\$ 2,664.00
Independent Claims	2	-3 = 0	X \$86.00 (1614)	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$290.00 (1616)	

TOTAL OF ABOVE CALCULATIONS = \$ 3,394.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

+ \$ 0.00

SUBTOTAL = \$ 3,394.00

Processing fee of **\$130.00 (1618)** for furnishing the English translation later than
months from the earliest claimed priority date (37 CFR 1.492(f)). ☐ 20 ☐ 30

\$ 0.00

TOTAL NATIONAL FEE = \$ 3,394.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00 (8021)** per property +

TOTAL FEES ENCLOSED = \$ 3,394.00

Amount to be
refunded :

charged :

- a. ☐ A check in the amount of _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 02-4800 in the amount of _____ to cover the above fees. A
duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to
Deposit Account No. 02-4800. A duplicate copy of this sheet is enclosed.
- d. ☒ Charge \$ 3,394.00 to credit card. Form PTO-2038 is attached.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a)
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Burns, Doane, Swecker & Mathis, L.L.P.
P.O. Box 1404
Alexandria, Virginia 22313-1404
(703) 836-6620

SIGNATURE

Teresa Stanek Rea

NAME

30,427

July 8, 2004

REGISTRATION NO.

DATE